

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

APPLICATION FOR LETTERS PATENT

EV 369763120

**Systems and Methods for Updating a  
Query Engine Opcode Tree**

Inventors:

David Wortendyke

Umesh Madan

Geary L. Eppley

ATTORNEY'S DOCKET NO. MS1-2021US

1 **RELATED APPLICATION**

2 This application is related to U.S. Patent Application Serial No.  
3 10/\_\_\_\_\_, entitled "Systems and Methods for Parallel Evaluation of  
4 Multiple Queries" by the Applicants named herein, filed February 20, 2004.

5  
6 **TECHNICAL FIELD**

7 The systems and methods described herein generally relate to query  
8 processing using a filter engine opcode tree and, more particularly, to systems and  
9 methods for updating a filter engine opcode tree.

10  
11 **BACKGROUND**

12 Computing systems - i.e. devices capable of processing electronic data such  
13 as computers, telephones, Personal Digital Assistants (PDA), etc. - communicate  
14 with other computing systems by exchanging data messages according to a  
15 communications protocol that is recognizable by the systems. Such a system  
16 utilizes filter engines containing queries that are used to analyze messages that are  
17 sent and/or received by the system and to determine if and how the messages will  
18 be processed further.

19 A filter engine may also be called an "inverse query engine." Unlike a  
20 database, wherein an input query is tried against a collection of data records, an  
21 inverse query engine tries an input against a collection of queries. Each query  
22 includes one or more conditions, or rules, that must be satisfied by an input for the  
23 query to evaluate to true against the input.

24 A collection of queries usually takes the form of one or more filter tables  
25 that may contain hundreds or thousands of queries, and each query may contain

1 several conditions. Significant system resources (e.g., setting up query contexts,  
2 allocating buffers, maintaining stacks, etc.) are required to process an input against  
3 each query in the filter table(s) and, therefore, processing an input against  
4 hundreds or thousands of queries can be quite expensive.

5       Queries included in a particular system may be somewhat similar since the  
6 queries are used within the system to handle data in a like manner. As a result,  
7 several queries may contain common expressions that currently must be evaluated  
8 individually. It would be advantageous to exploit redundant expressions contained  
9 in multiple queries to significantly reduce overhead expenses associated with  
10 query processing.

## 11 12 **SUMMARY**

13       At least one implementation described herein relates to updating a filter  
14 engine opcode tree that is used to evaluate an input against multiple queries by  
15 evaluating common query expressions of the queries at the same time, i.e. in  
16 parallel. An opcode block is derived from the compilation of a query into a series  
17 a sequential set of instructions, or opcodes. One query corresponds to one opcode  
18 block and each opcode contained there is an opcode object. A logical opcode tree  
19 structure having opcode object nodes and branch nodes is maintained whereby  
20 each tree segment included in a shared path represents an opcode block prefix that  
21 is common to two or more queries. Common opcode block prefixes are  
22 represented in the opcode tree by a single set of opcode nodes so that a single  
23 execution of the opcode tree against an input results in evaluation of each of the  
24 multiple queries against the input. As a result, opcode objects are executed only  
25 once even though they may correspond to multiple queries.

1       Branch nodes connect one tree segment to multiple dependent opcode  
2 nodes. In at least one implementation, in an instance where several opcode nodes  
3 that depend from a branch node perform a similar function, such as a literal  
4 comparison, the branch node includes logic to perform an optimized lookup  
5 routine to process the dependent opcode nodes. The optimized lookup routine  
6 may include a hash routine or the like.

7       Implementations to dynamically add or remove an opcode node from an  
8 opcode tree at runtime are also described. When an opcode node is added to an  
9 existing opcode tree, a branch node may be optimized to include optimization  
10 techniques, such as hashing, tries, interval trees, etc. Merging and removing  
11 opcode nodes may be handled by a component of the filter engine or by the  
12 opcode node itself, which can be configured to recognize certain characteristics of  
13 the opcode tree in relation to its own structure.

## 14 15 **BRIEF DESCRIPTION OF THE DRAWINGS**

16       A more complete understanding of exemplary systems and methods  
17 described herein may be had by reference to the following detailed description  
18 when taken in conjunction with the accompanying drawings wherein:

19       Fig. 1 is a block diagram of an exemplary messaging system having a filter  
20 engine.

21       Fig. 2 is a block diagram of an exemplary inverse query engine.

22       Fig. 3 is a depiction of an exemplary opcode tree.

23       Fig. 4 is a flow diagram depicting a methodological implementation of  
24 parallel evaluation of multiple queries.

25       Fig. 5 is a flow diagram depicting a methodological implementation of  
adding a query to an inverse query engine that utilizes an opcode tree.

1           Fig. 6 is a diagram of an exemplary computing environment in which the  
2           implementations described herein may operate.

### 3 4           **DETAILED DESCRIPTION**

5           The present disclosure relates to systems and methods that streamline query  
6           processing by executing similar expressions included in different queries  
7           simultaneously to reduce a number of operations that must be performed to  
8           evaluate each individual query. The examples shown and described herein  
9           specifically relate to messaging systems with inverse query engines that process  
10          multiple XPath queries against an input message.

11          Although specific examples are used herein, the specific examples are not  
12          intended to limit the scope of the claims appended hereto, but are provided to  
13          show one way in which the claimed subject matter may be implemented. The  
14          techniques described herein may be applied to other types of query processing  
15          systems, such as subscription services, security applications, and the like, and they  
16          may be used with other query languages.

17          An inverse query engine tests a collection of queries against an input and  
18          selects queries that are satisfied, or matched, by the input. Queries may also be  
19          referred to as filters, and an inverse query engine may also be referred to as a filter  
20          engine.

21          A basic inverse query engine separately tests an input against each of  
22          multiple queries. Such an engine becomes increasingly inefficient as the number  
23          of queries it processes grows. Filter tables (composed of queries) used in message  
24          routing systems, subscription systems and the like can contain hundreds and  
25

1 thousands of queries. Using a basic inverse query engine with such a system can  
2 hinder query processing within the system.

3 In many inverse query processing systems - e.g. messaging systems -  
4 queries included in a system filter table may be similar or have logical elements in  
5 common. The techniques described herein exploit these similarities to introduce  
6 parallelism into query evaluation, combining processing of redundant query  
7 elements so that such an element need only be performed a single time.

8 In one or more examples shown and described herein, an inverse query  
9 engine evaluates an entire filter table by executing an opcode tree that corresponds  
10 to the filter table. Each query in the filter table is compiled into a linear list - i.e. a  
11 sequence - of opcodes called an opcode block. A query is evaluated by executing  
12 the opcode block that results from compiling the query. An opcode block of one  
13 query may have a prefix in common with one or more opcode blocks of other  
14 queries.

15 The opcode tree includes a root node, opcode nodes and branch nodes.  
16 Each query is represented in the opcode tree by a path beginning from the root  
17 node and extended through the tree. When multiple queries include a similar  
18 opcode block prefix, the paths corresponding to the queries share a common  
19 segment beginning with the root node until a dissimilar opcode object in the  
20 respective opcode blocks is reached. At such a point in the opcode tree, a branch  
21 node connects the common path segment with a diverging path segment for each  
22 dissimilar opcode object that follows the similar opcode block prefix. Diverging  
23 path segments can be common to multiple queries and can diverge further.

24 When an input is received for evaluation against the multiple queries, the  
25 inverse query engine executes the entire opcode tree at once. As a result, opcode

1 objects that correspond to multiple queries are executed only one time and the  
2 result of the execution is used in the evaluation of the input against each query that  
3 corresponds to the common opcode objects.

4 Branch nodes are used to connect opcode tree segments. A branch node is  
5 located in an opcode tree between a tree segment that is common to multiple  
6 queries and tree branches that diverge from the common tree segment, each  
7 representing a unique portion of a query opcode block. A branch node includes  
8 logic for evaluating one or more branches that diverge from the branch node. The  
9 logic may simply reference dependent opcode nodes, or the logic may include one  
10 or more optimization techniques for processing subordinate tree segments, such as  
11 using a hash table in an instance where a number of subordinate opcode objects  
12 are similar literal comparisons.

13 In at least one implementation, a branch node also includes logic that  
14 implements an optimization technique when it is warranted and removes the  
15 optimization technique when it no longer needed. For example, a branch node  
16 may be configured to implement a hash table when it detects that a certain number  
17 of subordinate opcode nodes execute literal comparisons. The branch node may  
18 also be configured to revert from the hash table to a linear comparison in the event  
19 that the number of literal comparison opcode objects is reduced to a point where a  
20 hash table is no longer effective.

21 To execute an opcode tree, an inverse query engine begins at a root node of  
22 the tree and executes subordinate nodes until a branch node is reached. Each  
23 branch diverging from the branch node is executed independently. For each  
24 branch taken, a shallow, optimized copy of the execution context is produced. The  
25 execution context contains all of the intermediate operation state gathered by

1 evaluating opcode objects. For example, if the query processor is a stack machine,  
2 then the execution context would include a stack that contains results of the  
3 opcode node evaluation until the branch node was reached. The assumption is that  
4 performing a fast shallow copy of the context (usually just a memcpy) is more  
5 efficient than independently reproducing the intermediate data multiple times –  
6 and hence the rationale behind merging opcodes from multiple queries into a  
7 single opcode tree. If each query is evaluated separately, the context would have  
8 to be reproduced. This is a resource expense that is avoided by merging the  
9 opcodes into an opcode tree. When a branch node is encountered while processing  
10 a particular tree branch, the same execution process is applied recursively.

#### 11 Intermediate Results

12 As described above, intermediate results obtained during execution of the  
13 opcode tree are cached and re-used to economize processing overhead. Any  
14 particular implementation of a technique for caching and retrieving intermediate  
15 results may be utilized without affecting the scope of the appended claims.

16 Regardless of the particular implementation, the execution context contains  
17 all of the intermediate operation state gathered by evaluating opcode nodes.  
18 During the execution of the opcode tree, when a branch node or a leaf node is  
19 reached, the execution context has the result of the execution to that point.

20 When a branch node is reached and individual branches therefrom are  
21 executed, the manner in which the execution context is handled depends on a  
22 particular way in which a query processor operates. One implementation utilizes a  
23 stack machine query processor. In a stack machine, an execution context includes  
24 a stack in which intermediate operands and opcode node evaluation results are  
25 stored. Opcodes push and pop data and nodesets to and from the stack.



1 For each branch taken in the present case, an optimized copy of the  
2 evaluation context is made. This is a simple procedure (typically just a memcpy)  
3 that is more efficient than reproducing the evaluation context multiple times (once  
4 for each branch taken). In a typical situation, if each query was evaluated  
5 independently, redundant opcodes would have to be re-executed and the execution  
6 context reproduced multiple times.

7 In another implementation, a variable machine could be utilized instead of a  
8 stack machine. When using a query language that has no side effect (such as  
9 XPath), the query processor could utilize variables, where each unique  
10 intermediate result corresponds to a unique variable.

11 In this implementation, the evaluation context includes a variable table.  
12 Each opcode node in the opcode tree that produces a unique result (e.g., an opcode  
13 that adds two numbers produces a new result) is associated with a predefined  
14 variable. An opcode node evaluates by setting its associated variable in the  
15 evaluation context.

16 When a branch node is encountered, the execution context does not need to  
17 be reproduced since each opcode node is associated with a unique variable, i.e. a  
18 variable that, once set, doesn't change during the execution of the opcode tree.  
19 While this implementation is more efficient in some terms, one problem associated  
20 with it is that the variable table can be quite large, thereby making some aspects of  
21 the present invention more difficult to implement.

22 Therefore, a particular implementation for handling intermediate results  
23 must take into account certain characteristics of an execution environment.  
24 However, any method known in the art for caching and retrieving intermediate  
25 results may be utilized with the presently described systems and methods.

## Opcode Tree Copy

In some systems, it is important that an opcode tree be available for maintenance (adding and/or removing nodes) at the same time that it can be used to process queries. In one implementation a copy of the opcode tree may also be maintained so that opcodes can be merged into or removed from the opcode tree while the opcode tree copy can be contemporaneously used for query processing. In an alternative implementation, a read/write precedence may be established wherein read operations related to the opcode tree have precedence over write operations. As a result, the opcode tree can be used for processing during an operation to merge or remove opcodes from the tree since the opcode tree since no opcodes can be added to the opcode tree during a merging process.

These and other features are described in greater detail, below, with respect to the figures which depict specific exemplary implementations.

## Exemplary Computer System

**Fig. 1** is a simplified block diagram of an exemplary computer system 100 in accordance with the presently described systems and methods. The exemplary computer system 100 as shown encompasses at least a portion of a messaging system 114 in memory 102. The computer system 100 also includes a processor for executing computer instructions and an input/output (I/O) module 106 for receiving and transmitting data to/from the computer system 100. The computer system 100 also includes a number of hardware components 108 that are not specified herein, but are necessary to support operation of the computer system 100.

The memory 102 stores an operating system 110 that controls operation of the computer system 100 and one or more software applications 112 that support

1 particular functions of the computer system 100. The messaging system 114  
2 includes a filter engine 116 and a filter table 118 which are used to process  
3 messages.

4 The computer system 100 is configured to communicate over a network  
5 118 with a remote computing device 120 that includes a messaging system  
6 component 122. The messaging system component 122 is configured to send  
7 messages to the messaging system 114 of the computer system 100 over the  
8 network 118, which may be a local area network (LAN), a wide area network  
9 (WAN), the Internet or the like.

#### 10 **Exemplary Inverse Query Engine**

11 Fig. 2 is a block diagram of an inverse query engine 200 in accordance with  
12 the present description. The inverse query engine 200 is similar to the filter engine  
13 116 shown in Fig. 1. In the following discussion, reference may be made to  
14 particular elements and reference numerals shown in Fig. 1.

15 The inverse query engine 200 includes an input module 202 that is  
16 configured to receive queries 204 and messages 206. Although the input module  
17 202 is depicted as a single logical unit, in practice separate input modules may be  
18 utilized. In such a configuration, a first input module would be configured to  
19 receive input queries and a second input module would be configured to receive  
20 input messages.

21 In the present example, the queries are XPath queries and the messages are  
22 constructed according to a protocol compatible therewith, such as the Simple  
23 Object Access Protocol (SOAP). It is noted, however, that the queries and the  
24 messages may be formatted according to one or more other languages and/or  
25 protocols.

1       The inverse query engine 200 also includes a query processor 208 that is  
2 configured to execute instructions within the inverse query engine 200 to provide  
3 the functionality thereto, such as processing input messages against queries, etc. A  
4 language analysis module 210 is configured to recognize and handle queries input  
5 into the inverse query engine 200. The inverse query engine 200 also includes at  
6 least one filter table 212 that stores multiple queries (query\_A 214, query\_B 216  
7 through query\_n 218). The filter table 212 includes a reference 219 to an opcode  
8 tree 230.

9       The language analysis module 210 includes components that recognize and  
10 compile queries that are added to the inverse query engine 200. In the present  
11 example, the language analysis module 210 includes a lexical analysis module  
12 (“lexer”) 220, a parser 222 and a compiler 224. The lexer 220 receives an input  
13 and groups characters included in the input into elemental language units (tokens)  
14 which are then sent to the parser 222. The parser 222 analyzes the tokens received  
15 from the lexer 220 and breaks them into constituent parts. The compiler 224  
16 translates the information from the lexer 220 and the parser 222 into opcodes that  
17 the query processor 208 uses to process the input queries.

18       The compiler 224 generates opcodes 226, from each query that it compiles.  
19 Each query produces a set of opcode objects called an opcode block. An opcode  
20 merger 228 merges opcode blocks containing newly compiled opcode objects into  
21 the opcode tree 230.

22       The opcode tree 230 includes opcode nodes objects and branch nodes as  
23 described above. Each opcode node comprises an opcode object. The opcode tree  
24 230 is a logical structure that includes opcode nodes, some of which include  
25

1 references to other opcode nodes to create a linked list. Creation and maintenance  
2 of the opcode tree 230 will be discussed in greater detail below.

3 The inverse query engine 200 also maintains an opcode tree copy 232 that  
4 is used during processing so that operations may be undertaken on the opcode tree  
5 230 without interfering with query processing. Updates are made to the opcode  
6 tree copy 232 while the opcode tree 230 remains available for query processing.  
7 When the updates are complete, the updated opcode tree copy 232 is stored as the  
8 opcode tree 230. Thus, a current version of the opcode tree 230 is always  
9 available for query processing.

10 An intermediate results cache 234 is include in the inverse query engine  
11 200 to store intermediate results obtained during execution of the opcode tree, and  
12 execution contexts related to opcode tree processing. The contents of the  
13 intermediate results cache 234 are used as described above to avoid re-execution  
14 of opcode nodes that are common to more than one query.

15 The elements shown in the inverse query engine 200 will be discussed in  
16 greater detail below, with respect to the following figures.

### 17 **Exemplary Opcode Tree**

18 **Fig. 3** is a depiction of an exemplary opcode tree 300 having opcode nodes  
19 and branch nodes. For discussion purposes, an exemplary filter table that includes  
20 the queries listed below in **Table 1** is presented. It is noted that the queries shown  
21 in Table 1 do not conform to exact XPath query syntax. Rather, the queries have  
22 been simplified to better demonstrate the structure and function of the opcode tree  
23 300. For example, the XPath query expression

24 **`/env:Envelope/env:Headers/wsa:Action = "http://abc.com"`**  
25

is simply represented below (as Query 1) as “action = http://abc.com”. The highlighted reference letters shown in brackets (“[ ]”) adjacent to certain query expressions identify the corresponding segments in the opcode tree 300.

Q1: action = http://abc.com [a]  
Q2: action = http://abc.com [a] AND weight = 32 [b]  
Q3: action = http://xyz.com [c] AND (weight = 40 [d] OR priority = 1 [e])  
Q4: action = http://abc.com [a] AND weight = 32 [b] AND priority > 1 [f]  
Q5: priority = 1 [g]  
Q6: action = http://xyz.com [c]  
Q7: (action = http://xyz.com [c] AND weight < 40 [h]) OR priority > 1 [i]

Table 1: Exemplary Filter Table Queries

Using the segment identifiers [a] - [i], the queries can be expressed briefly as follows:

Q1 = a  
Q2 = a, b  
Q3 = c, d, e  
Q4 = a, b, f  
Q5 = g  
Q6 = c  
Q7 = c, h, i

In the above example, the query compiler (a simplistic one) has compiled Q2 into an opcode block containing 2 opcodes: a, b. Opcode ‘a’ will evaluate the expression “action = http://abc.com”. The opcodes are also labeled ‘a’ and ‘b’ for illustration— to show correspondence to expressions. It is apparent that opcode blocks for some queries contain opcodes that are contained in other queries. For example, Q1, Q2 and Q4 all begin with opcode [a]. It is this type of similarity between queries that is exploited in the use of the opcode tree.

1       The opcode tree 300 is structured in accordance with the group of queries  
2 shown in Table 1. The opcode tree 300 has a root node 302 and a first branch  
3 node 304. The first branch node 304 is the root node of multiple sub-trees, or  
4 branches which are executed recursively. Each branch is traversed sequentially  
5 and opcode nodes are executed as they are encountered. The traversal and  
6 execution are described in greater detail below, with respect to Fig. 5.

7       Opcode node 306 of the opcode tree 300 is associated with expression [a]  
8 of Query 1 (Table 1). Since Query 1 consists of a simple expression (i.e., it is not  
9 a compound expression made up of multiple sub-expressions), the expression  
10 contained in Query 1 - "action = "http://abc.com" - is compiled and the resulting  
11 opcode object is associated with opcode node 306. Traversing the opcode tree 300  
12 with regard to an input from the root node 302 through the first branch node 304 to  
13 opcode node 306 executes Query 1 (Q1).

14       Since Query 2 and Query 4 also begin with expression [a], opcode node  
15 306 can also be used in the evaluation of these queries. Thus, two additional  
16 evaluations of expression [a] are avoided by using the result associated with  
17 opcode node 306.

18       The second opcode segment of Query 2 - expression [b] - follows  
19 immediately after expression [a]. Therefore, opcode node 308 is created as a child  
20 node of opcode node 306 to represent expression [b]. Query 2 is represented by  
21 the opcode tree path of root node 302, first branch node 304, opcode node 306 and  
22 opcode node 308.

23       Query 4 includes expression [a] and expression [b] but also includes  
24 expression [f]. Therefore, opcode node 310, which corresponds to expression [f],  
25 is created as child node of node 308. Query 4 is represented by an opcode tree

1 path of root node 302, first branch node 304, opcode node 306, opcode node 308  
2 and opcode node 310.

3       There are no other queries that begin with expression [a], so a new branch  
4 is created from the first branch node 304 to correspond with a different expression  
5 that begins a query. In the present example, Query 5 begins with expression [g],  
6 so opcode node 312 is created off of the first branch node 304. Since no query  
7 contains any expressions subsequent to expression [g], opcode node 312 does not  
8 have any child nodes.

9       There are other queries that begin with an expression other than the  
10 expressions that have already been mapped (expressions [a], [b], [f] and [g]), so a  
11 new branch is created off of the first branch node 304 for these other expressions.  
12 Opcode node 314 is created off of the first branch node 304 to represent  
13 expression [c], which begins Query 3, Query 6 and Query 7.

14       It is noted that the queries and the opcode tree 300 are both of a hierarchical  
15 nature. The opcode tree 300 has different levels that correspond to opcode  
16 segments in different positions. The first level in the opcode tree 300 under the  
17 root node corresponds with an initial opcode segment of the queries. In the  
18 present example, there are three distinct initial opcode segments in the queries that  
19 correspond to three distinct nodes in the first level of the tree.

20       Since there are no distinct opcode segments that start a query other than  
21 those represented by opcode node 306, opcode node 312 and opcode node 314,  
22 there are no additional child nodes subordinate to the first branch node 304.

23       Query 3 and Query 7 begin with the same query segment ( [c] ) that is  
24 represented by opcode node 314 but include subsequent segments. Therefore,  
25 Query 3 and Query 7 will require a separate branch off of opcode node 314. A



1 second branch node 316 initiates the branches for Query 3 and Query 7. Query 3  
2 includes the subsequent expressions [d] and [e], so these expressions make up the  
3 branch associated with Query 3. Opcode node 318 corresponds to expression [d]  
4 and opcode node 320 corresponds to expression [e].

5 A branch corresponding to Query 7 is created off of the second branch node  
6 316. Query 7 includes two expressions after expression [c], namely expression [h]  
7 and expression [i]. Therefore, the branch includes opcode node 322 that  
8 corresponds to expression [h] and opcode node 324 that corresponds to expression  
9 [i].

#### 10 **Exemplary Methodological Implementation: Parallel Query Evaluation**

11 Fig. 4 is a flow diagram 400 depicting a methodological implementation of  
12 parallel evaluation of multiple queries using the opcode tree techniques described  
13 herein. In the following discussion of Fig. 4, continuing reference will be made to  
14 the elements and reference numerals included in Figures 2 and 3.

15 At block 402, the message 206 is received via the input module 202 of the  
16 inverse query engine 200. The message 206 is input to the query processor 208  
17 for evaluation against the filter table 212. To perform the evaluation, the nodes of  
18 the opcode tree 300 are traversed and each opcode node is executed. Initially,  
19 control is directed to the root node 302 (block 404) of the opcode tree 300. In the  
20 present example, the root node 302 is not associated with any executable query  
21 opcode segment but in some instances, the root node 302 may contain opcodes  
22 that will be executed at block 404. If an opcode object is executed for the root  
23 node, the intermediate result is cached at block 406. In most instances, block 406  
24 will not be necessary.  
25

1        If there is a next node to evaluate (“Yes” branch, block 408) it is  
2        determined if the next node is a branch node at block 410. At this point in the  
3        present example, the next node is the first branch node 304. If the next node is a  
4        branch node (“Yes” branch, block 410), the process proceeds with a following  
5        node of a first branch off the first branch node at block 408. If the node is not a  
6        branch node (“No” branch, block 410), then the opcode node is executed at block  
7        414 and the intermediate result is cached at block 416 (although this step may not  
8        be necessary in most instances).

9        The process then reverts to block 408 and subsequent nodes are processed  
10       until a leaf node at the end of a branch is reached. At that point, there are no more  
11       nodes to be processed in the currently executed branch (“No” branch, block 408).  
12       If there is a previous branch node (“Yes” branch, block 418), then focus is returned  
13       to the previous branch node at block 420. If there is another branch from that  
14       branch node (“Yes” branch, block 422), then the process reverts to block 408 for  
15       additional processing of nodes in the next branch off the branch node.

16       If there is not another branch from the branch node (“No” branch, block  
17       422), then it is determined if there is a previous branch node at block 418. If so,  
18       the process repeats as described above. If there is not a previous branch node  
19       (“No” branch, block 418), then control is at the highest branch node in the opcode  
20       tree 300 and there are no more branches from that branch node that need to be  
21       evaluated. Therefore, the opcode tree 300 has been executed in its entirety and the  
22       message 206 has been evaluated against each query in the filter table 212.

23       Queries that were satisfied by the input message 206 are returned at block  
24       424. In the previous example of the message evaluated against the queries  
25       included in Table 1, the matching queries are Query 1 and Query 7. The inverse

1 query engine 200 then performs post-processing on the matching queries, such as  
2 taking an action associated with one or more of the matching queries.

### 3 **Exemplary Methodological Implementation: Merging Opcodes**

4 Fig. 5 is a flow chart 500 depicting a methodological implementation for  
5 merging a query into an opcode tree. In the following discussion, continuing  
6 reference will be made to the elements and reference numerals of Figures 2 and 3.

7 At block 502, the input module 202 receives a query 204 to add to the filter  
8 table 224. The query 204 is directed to the language analysis module 210 where it  
9 is parsed and compiled into opcode objects 226 (block 504). The opcode objects  
10 226 are then ready to be merged into the opcode tree 230.

11 In the following discussion, the opcode merger 232 handles the process of  
12 merging the opcode objects 226 into the opcode tree 230. However, in another  
13 implementation, opcode objects are configured to merge themselves into the  
14 opcode tree 230. In such a case, the logic required to understand the relationship  
15 between an opcode object and the opcode tree is embedded in an instance of an  
16 object that is created when a query is compiled. The latter implementation allows  
17 new optimization techniques to be added without having to implement logic into  
18 the opcode merger. Only an object would have to be updated. This  
19 implementation is described in greater detail below.

20 The opcode merger 232 takes an available opcode object (“Yes” branch  
21 block 506) and determines if an identical opcode object is already in the opcode  
22 tree 230, beginning the analysis at the root node 302. If the opcode object is  
23 already in the opcode tree (“Yes” branch, block 508), then the process focuses on  
24 that node in the tree and a next opcode object - if available - is processed  
25 beginning at block 506.

1        If the opcode object is not in the opcode tree (“No” branch, block 508),  
2        then it must be determined if a branch node exists immediately below the last node  
3        that corresponded to a query opcode object already in the opcode tree 300. For  
4        example, referring to the opcode tree 300 in Fig. 3, suppose that a new query being  
5        merged into the tree was structured as “Action = xyz.com/123”. Since “xyz.com”  
6        is already represented by opcode node 314 (expression [c]), a new branch would  
7        have to be created for the “/123” portion of the query. Opcode node 314 already  
8        has two branches so there is an existing branch node 316 (“Yes” branch, block  
9        512). Therefore, a new opcode node will be added as a branch off of the existing  
10       branch node 316. If there was not an existing branch node (“No” branch, block  
11       512), a new branch node would be created at block 514.

12       Before a new opcode node is added to the opcode tree 300, the opcode  
13       merger 228 evaluates the context of the branch node to determine if an  
14       optimization can be made to the branch node (block 516). If the branch node can  
15       be optimized (“Yes” branch, block 518), the branch node is optimized and  
16       implemented at block 520. The new opcode node is then added as a new branch  
17       off of the branch node (block 522).

18       If the branch node cannot be optimized (“No” branch, block 518), the new  
19       opcode node is simply added as a new node off of the branch node at block 522.  
20       Optimization techniques are described in greater detail below.

21       The process is repeated from block 506 until there are no more opcode  
22       nodes to merge into the opcode tree 230. If the previously described operations  
23       have been performed on an opcode tree copy 232 to preserve the opcode tree 230  
24       for processing during the merge operation, the opcode tree copy 232 is stored as  
25       the opcode tree 230 at this time.

## Optimizations

There are situations where an optimization technique can be implemented to increase the efficiency of the query evaluation process. In some systems, a majority of expressions included in queries perform similar operations. For example, queries written in XPath frequently perform literal comparisons. **Table 2** includes some exemplary XPath expressions that could be included in one or more queries.

(1) /Envelope/Headers/Action = 'http://abc.com/xyz'  
(2) /Envelope/Headers/Action = 'http://abc.com/xyz'  
and /Envelope/Headers/Weight = 32  
(3) /Envelope/Headers/Hopcount/TTL = 54  
(4) /XYZ/Priority > 3 and /XYZ/Priority <=5

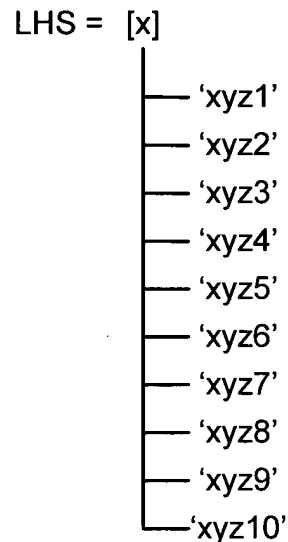
**Table 2: Exemplary XPath Queries**

All of the queries shown in Table 2 test literals against source values and return a Boolean result (T or F). Such queries are compiled into expressions using opcodes that are designed to perform literal comparisons.

For example, suppose the following XPath expressions are to be tested against a given input:

LHS = 'xyz1'  
LHS = 'xyz2'  
LHS = 'xyz3'  
LHS = 'xyz4'  
LHS = 'xyz5'  
LHS = 'xyz6'  
LHS = 'xyz7'  
LHS = 'xyz8'  
LHS = 'xyz9'  
LHS = 'xyz10'

1       The opcode merger is configured to combine opcode blocks derived from  
2       compiling the expressions into an opcode tree logically arranged as follows, where  
3       [x] represents a branch node:



12       The prefix common to each expression (“LHS =”) is blended into the  
13       opcode tree as an opcode node, and each diverging literal forms a different branch  
14       from the opcode node. When an input message is processed against an opcode  
15       tree containing this structure, the value associated with “LHS” is retrieved once.  
16       However, to compute the Boolean result of each branch, the query processor 208  
17       performs a literal comparison for each branch. As a general rule, if there were  $n$   
18       such expressions, the query processor would have to perform  $n$  string comparisons  
19       to find the result for each literal comparison.

20       In the exemplary case, it would be much more efficient to utilize a hash  
21       function to optimize the comparisons. When merging opcode objects into an  
22       opcode tree, the opcode merger 228 is configured to detect a situation in which an  
23       optimization algorithm can be implemented and combines literal comparisons into  
24

1 an indexed literal branch opcode object. The specialized branch opcode takes the  
2 place of a generic branch node in the opcode tree.

3 An indexed literal branch opcode includes a branch index that contains  
4 (key, value) pairs. The literals form the key, and an identifier associated with a  
5 branch of a literal is associated with its value. When a query containing the literal  
6 is evaluated, the value of the literal is hashed to derive an index entry that  
7 references the literal value. In some cases, multiple entries will be identified.

8 Branch index objects allow the result of every branch to be obtained very  
9 quickly, frequently by making a single comparison. In the above example, the  
10 value of "LHS" is retrieved, hashed and looked up in the index. The index returns  
11 a set of (key, value) pairs, where the key is the value of matching literals and the  
12 value identifies branches to which the literal belongs. Every branch that is  
13 identified evaluates to True. The other branches, therefore, evaluate to False.

14 Indexed branch opcode objects provide a general framework for insertion  
15 of indexing techniques that are customized to the type of comparison involved.  
16 Types of comparisons that may be implemented with indexed branch opcode  
17 literals include, but are not limited to, string and number equality literals using  
18 hash tables, interval trees to optimize numeric interval queries, opcodes that  
19 perform string prefix matching using tries (a standard computer science data  
20 structure designed for optimal string prefix matching), and the like.

21 Optimizing opcode objects may sometimes require devolving from a  
22 specialized optimization technique to a linear comparison. In the example of a  
23 hash table, it may only be more efficient to utilize a hash table when there are, say,  
24 more than fifty entries in the hash table. If such a case, removing a few opcode  
25

1 nodes may make the hashing operation more expensive than a literal comparison  
2 procedure.

3 The opcode merger 228 is configured to recognize such situations and  
4 remove an optimization technique if the removal will increase efficiency. In an  
5 implementation where an opcode merger 228 is not used, opcode objects will  
6 include logic to recognize these particular situations and to reform an indexed  
7 branch literal opcode object, for example, into a generic branch opcode object.

8 Removing opcode nodes from the opcode tree are described in more detail  
9 below.

### 10 **Removing Opcode Nodes**

11 Sometimes it is necessary to remove opcode nodes from an opcode tree  
12 230. In such a situation, the inverse query engine 200 is requested to remove a  
13 particular query. To remove opcode nodes associated with the query, a component  
14 of the inverse query engine 200 (such as the opcode merger 228 or the query  
15 processor 208) traverses the opcode tree 230 and attempts to identify tree  
16 segments that are common between the query being removed and at least one  
17 other query in the opcode tree.

18 The opcode tree is traversed according to the query to be removed until a  
19 branch node is encountered that begins a branch specific to the query to be  
20 removed. Only the branch that is specific to the query is removed. In cases where  
21 removal of the specific branch causes removal of one of two branches, a branch  
22 node that was the point of divergence for the two branches is removed, since a  
23 branch node at that location is no longer required.



## Exemplary Computer Environment

The various components and functionality described herein are implemented with a computing system. Fig. 6 shows components of typical example of such a computing system, i.e. a computer, referred by to reference numeral 600. The components shown in Fig. 6 are only examples, and are not intended to suggest any limitation as to the scope of the functionality of the invention. Furthermore, the invention is not necessarily dependent on the features shown in Fig. 6.

Generally, various different general purpose or special purpose computing system configurations can be used. Examples of well known computing systems, environments, and/or configurations that may be suitable for use with the invention include, but are not limited to, personal computers, server computers, hand-held or laptop devices, multiprocessor systems, microprocessor-based systems, set top boxes, programmable consumer electronics, network PCs, minicomputers, mainframe computers, distributed computing environments that include any of the above systems or devices, and the like.

The functionality of the computers is embodied in many cases by computer-executable instructions, such as program modules, that are executed by the computers. Generally, program modules include routines, programs, objects, components, data structures, etc. that perform particular tasks or implement particular abstract data types. Tasks might also be performed by remote processing devices that are linked through a communications network. In a distributed computing environment, program modules may be located in both local and remote computer storage media.

1       The instructions and/or program modules are stored at different times in the  
2 various computer-readable media that are either part of the computer or that can be  
3 read by the computer. Programs are typically distributed, for example, on floppy  
4 disks, CD-ROMs, DVD, or some form of communication media such as a  
5 modulated signal. From there, they are installed or loaded into the secondary  
6 memory of a computer. At execution, they are loaded at least partially into the  
7 computer's primary electronic memory. The invention described herein includes  
8 these and other various types of computer-readable media when such media  
9 contain instructions programs, and/or modules for implementing the steps  
10 described below in conjunction with a microprocessor or other data processors.  
11 The invention also includes the computer itself when programmed according to  
12 the methods and techniques described below.

13       For purposes of illustration, programs and other executable program  
14 components such as the operating system are illustrated herein as discrete blocks,  
15 although it is recognized that such programs and components reside at various  
16 times in different storage components of the computer, and are executed by the  
17 data processor(s) of the computer.

18       With reference to Fig. 6, the components of computer 600 may include, but  
19 are not limited to, a processing unit 602, a system memory 604, and a system bus  
20 606 that couples various system components including the system memory to the  
21 processing unit 602. The system bus 606 may be any of several types of bus  
22 structures including a memory bus or memory controller, a peripheral bus, and a  
23 local bus using any of a variety of bus architectures. By way of example, and not  
24 limitation, such architectures include Industry Standard Architecture (ISA) bus,  
25 Micro Channel Architecture (MCA) bus, Enhanced ISA (EISAA) bus, Video

1 Electronics Standards Association (VESA) local bus, and Peripheral Component  
2 Interconnect (PCI) bus also known as the Mezzanine bus.

3 Computer 600 typically includes a variety of computer-readable media.  
4 Computer-readable media can be any available media that can be accessed by  
5 computer 600 and includes both volatile and nonvolatile media, removable and  
6 non-removable media. By way of example, and not limitation, computer-readable  
7 media may comprise computer storage media and communication media.  
8 “Computer storage media” includes volatile and nonvolatile, removable and non-  
9 removable media implemented in any method or technology for storage of  
10 information such as computer-readable instructions, data structures, program  
11 modules, or other data. Computer storage media includes, but is not limited to,  
12 RAM, ROM, EEPROM, flash memory or other memory technology, CD-ROM,  
13 digital versatile disks (DVD) or other optical disk storage, magnetic cassettes,  
14 magnetic tape, magnetic disk storage or other magnetic storage devices, or any  
15 other medium which can be used to store the desired information and which can be  
16 accessed by computer 600. Communication media typically embodies computer-  
17 readable instructions, data structures, program modules or other data in a  
18 modulated data signal such as a carrier wave or other transport mechanism and  
19 includes any information delivery media. The term “modulated data signal”  
20 means a signal that has one or more of its characteristics set or changed in such a  
21 manner as to encode information in the signal. By way of example, and not  
22 limitation, communication media includes wired media such as a wired network or  
23 direct-wired connection and wireless media such as acoustic, RF, infrared and  
24 other wireless media. Combinations of any of the above should also be included  
25 within the scope of computer readable media.

1       The system memory 604 includes computer storage media in the form of  
2 volatile and/or nonvolatile memory such as read only memory (ROM) 608 and  
3 random access memory (RAM) 610. A basic input/output system 612 (BIOS),  
4 containing the basic routines that help to transfer information between elements  
5 within computer 600, such as during start-up, is typically stored in ROM 608.  
6 RAM 610 typically contains data and/or program modules that are immediately  
7 accessible to and/or presently being operated on by processing unit 602. By way  
8 of example, and not limitation, Fig. 6 illustrates operating system 614, application  
9 programs 616, other program modules 618, and program data 620.

10       The computer 600 may also include other removable/non-removable,  
11 volatile/nonvolatile computer storage media. By way of example only, Fig. 6  
12 illustrates a hard disk drive 622 that reads from or writes to non-removable,  
13 nonvolatile magnetic media, a magnetic disk drive 624 that reads from or writes to  
14 a removable, nonvolatile magnetic disk 626, and an optical disk drive 628 that  
15 reads from or writes to a removable, nonvolatile optical disk 630 such as a CD  
16 ROM or other optical media. Other removable/non-removable,  
17 volatile/nonvolatile computer storage media that can be used in the exemplary  
18 operating environment include, but are not limited to, magnetic tape cassettes,  
19 flash memory cards, digital versatile disks, digital video tape, solid state RAM,  
20 solid state ROM, and the like. The hard disk drive 622 is typically connected to  
21 the system bus 606 through a non-removable memory interface such as data media  
22 interface 632, and magnetic disk drive 624 and optical disk drive 628 are typically  
23 connected to the system bus 606 by a removable memory interface such as  
24 interface 634.  
25

1       The drives and their associated computer storage media discussed above  
2 and illustrated in Fig. 6 provide storage of computer-readable instructions, data  
3 structures, program modules, and other data for computer 600. In Fig. 6, for  
4 example, hard disk drive 622 is illustrated as storing operating system 615,  
5 application programs 617, other program modules 619, and program data 621.  
6 Note that these components can either be the same as or different from operating  
7 system 614, application programs 616, other program modules 618, and program  
8 data 620. Operating system 615, application programs 617, other program  
9 modules 619, and program data 621 are given different numbers here to illustrate  
10 that, at a minimum, they are different copies. A user may enter commands and  
11 information into the computer 600 through input devices such as a keyboard 636  
12 and pointing device 638, commonly referred to as a mouse, trackball, or touch  
13 pad. Other input devices (not shown) may include a microphone, joystick, game  
14 pad, satellite dish, scanner, or the like. These and other input devices are often  
15 connected to the processing unit 602 through an input/output (I/O) interface 640  
16 that is coupled to the system bus, but may be connected by other interface and bus  
17 structures, such as a parallel port, game port, or a universal serial bus (USB). A  
18 monitor 642 or other type of display device is also connected to the system bus  
19 606 via an interface, such as a video adapter 644. In addition to the monitor 642,  
20 computers may also include other peripheral output devices 646 (e.g., speakers)  
21 and one or more printers 648, which may be connected through the I/O interface  
22 640.

23       The computer may operate in a networked environment using logical  
24 connections to one or more remote computers, such as a remote computing device  
25 650. The remote computing device 650 may be a personal computer, a server, a

1 router, a network PC, a peer device or other common network node, and typically  
2 includes many or all of the elements described above relative to computer 600.  
3 The logical connections depicted in Fig. 6 include a local area network (LAN) 652  
4 and a wide area network (WAN) 654. Although the WAN 654 shown in Fig. 6 is  
5 the Internet, the WAN 654 may also include other networks. Such networking  
6 environments are commonplace in offices, enterprise-wide computer networks,  
7 intranets, and the like.

8 When used in a LAN networking environment, the computer 600 is  
9 connected to the LAN 652 through a network interface or adapter 656. When used  
10 in a WAN networking environment, the computer 600 typically includes a modem  
11 658 or other means for establishing communications over the Internet 654. The  
12 modem 658, which may be internal or external, may be connected to the system  
13 bus 606 via the I/O interface 640, or other appropriate mechanism. In a networked  
14 environment, program modules depicted relative to the computer 600, or portions  
15 thereof, may be stored in the remote computing device 650. By way of example,  
16 and not limitation, Fig. 6 illustrates remote application programs 660 as residing  
17 on remote computing device 650. It will be appreciated that the network  
18 connections shown are exemplary and other means of establishing a  
19 communications link between the computers may be used.

## 20 21 Conclusion

22 Although details of specific implementations and embodiments are  
23 described above, such details are intended to satisfy statutory disclosure  
24 obligations rather than to limit the scope of the following claims. Thus, the  
25 invention as defined by the claims is not limited to the specific features described

1 above. Rather, the invention is claimed in any of its forms or modifications that  
2 fall within the proper scope of the appended claims, appropriately interpreted in  
3 accordance with the doctrine of equivalents.  
4  
5  
6  
7  
8  
9  
10  
11  
12  
13  
14  
15  
16  
17  
18  
19  
20  
21  
22  
23  
24  
25